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15.45/6069

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of: )  
TAKEUCHI )  
Serial No. 09/930,365 )  
Filed: August 15, 2001 )  
For: METHODS FOR MANUFACTURING )  
SEMICONDUCTOR DEVICES AND )  
SEMICONDUCTOR DEVICES HAVING )  
TRENCH ISOLATION REGIONS )

Group Art Unit: 2811  
Examiner: Vu, Quang D.

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sirs:

In accordance with 37 CFR §§ 1.56, 1.97, and 1.98, enclosed please find Form PTO-1449 listing the attached references which might be deemed material to the examination of the above-identified application.

A. Non-English Language References

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:
- ☒ The Notice of Reasons of Rejection for Japanese Patent Application 2000-246215 (from which priority is claimed for US 09/930,365) dated July 29, 2003 cites the following Japanese patent references: 10-189708, 2000-208609, 2001-352042, 09-205140 and 11-054605. An English language abstract and computer generated translation (the accuracy of which is not certified) have been submitted

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for these references. In addition, US5,996,614 appears to list the same priority documents as JP10-189708.

- B. ☐ The information disclosure statement submitted herewith is being filed
- 1) within three months of the filing date of a national application other than a continued prosecution application under 1.53(d);
  - 2) within three months of the date of entry into the national stage as set forth in 1.491 in an international application;
  - 3) before the mailing date of a first Office Action on the merits;
  - 4) before the mailing date of a first Office Action after filing of a Request for Continued Examination under 1.114; or
  - 5) before the mailing date of a first Office Action after filing of a Continued Prosecution Application.
- C. ☒ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph B, but before the mailing date of a final action under 1.113, a Notice of Allowance under 1.311, or an action otherwise closing prosecution, and is accompanied by:
- 1) a Statement under 1.97(e); or
  - 2) a fee of \$180 as set forth in 1.17(p).
- D. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in paragraph C, but before payment of the issue fee, and is accompanied by:
- 1) a Statement under 1.97(e); and
  - 2) a fee of \$180 as set forth in 1.17(p).

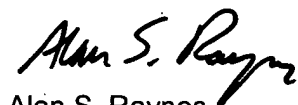
**STATEMENT UNDER 1.97(e)**

I, the person signing below, certify

- ☐ that each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(2).

■ **Please charge any insufficiency or credit any overpayment to Deposit Account No. 50-0585.** A duplicate of this letter is enclosed for fee processing.

Respectfully submitted,



Alan S. Raynes  
Reg. No. 39,809

Oct. 31, 2003  
Date

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**Certificate of Mailing**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail on Oct. 31, 2003 and is addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

  
Alan S. Raynes

Oct. 31, 2003  
(Date)

FORM PTO-1449 (revised) U.S. Department of Commerce  
IREV. 7.801 PATENT AND TRADEMARK OFFICE

Attorney Docket No.  
15.45/6059

Serial No.  
09/930,365

# INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicant:  
TAKEUCHI

Filing Date  
8/15/01

Group  
2811

## U.S. PATENT AND PATENT APPLICATION DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-Class	Filing Date if Appropriate
	5 9 6 6 6 1 4	12Oct99	Park et al.			

## FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Sub-Class	Translation	
						Yes	No
✓	10- 1 8 9 7 0 8	21Jul98	Japan			abst. + computer	
✓	2000- 2 0 8 6 0 9	28Jul00	Japan			abst. + computer	
✓	2001- 3 5 2 0 4 2	21Dec01	Japan			abst. + computer	
✓	09- 2 0 5 1 4 0	5Aug97	Japan			abst. + computer	
✓	11- 0 5 4 6 0 5	26Feb99	Japan			abst. + computer	

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Notice of Reasons of Rejection for Japanese Patent Application No. 2000-246215 (from which priority is claimed for 09/930,365) dated July 29, 2003 (which lists 10-189708, 2000-208609, 2001-352042, 09-205140 and 11-054605 cited above).
Examiner	Date Considered

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.